



**U.S. Department of the Interior**  
**"To-Be" Trust Business Model**  
**Process Template**

**Title: Receivable Administration**

*Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)*

**Process Number**

**B.6.3.2**

**1. Process Definition** *Provide an overview of the process and define its starting and ending points*

<b>1.1 Starts With</b>	Notification of receivable funds (i.e., award, judgment, settlement)
<b>1.2 Process Overview</b>	<p>The Receivable Administration process administers receivable funds from awards, settlements and judgments. The administrative process begins with notification of receivable funds from tribes and external entities. The notification includes beneficiary and account information and account controls necessary for setting up an account. After the notification is received, a receivable account is established with the assistance and support of the Financial Operations process. Next, the beneficiary accounts for receipt are identified using provided distribution lists.</p> <p>Note: The beneficiary accounts are actually established by the Beneficiary Account Administration process.</p>
<b>1.3 Stops With</b>	Receivable accounts are setup and target beneficiary accounts identified.

**2. Trust Business Objectives** *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

<b>Goal/Objective</b>
Collect, disburse and account for funds associated with Indian trust assets quickly and accurately.

**3. How should Beneficiaries be involved in this process?**

<b>Beneficiary Involvement</b>
Beneficiary has no direct involvement in the process.

**4. Organizations, Offices and Roles.** *Identify the DOI organizations and related roles that should be involved in performing the process.*

**4.1 DOI Organizations.** *Identify the DOI organizations, offices and individual roles that contribute to this process.*

*DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.*

*Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.*

*All individual roles that contribute, in a significant manner, should be identified.*

<b>Organization</b>	<b>Office</b>	<b>Role</b>	<b>Contribution</b>
BIA	Agency (Integrated Servicing Office)		Primary contact for performing account receivable administration.



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Organization	Office	Role	Contribution
OST	Agency (Integrated Servicing Office)		Primary contact for performing account receivable administration.
Compacted / Contracted Tribes	Tribal / Consortium Office		Primary contact for performing account receivable administration.
Tribes	Tribal Government Office		Provide account receivable information for establishing the account receivable.

**4.2 External Organizations.** *Identify the non-DOI organizations that support the execution of or contribute to this process.*

External Organization	Contribution
Social Security Administration	Provide funds on behalf of the beneficiary.
Veterans Administration	Provide funds on behalf of the beneficiary.
Federal Courts	Provide funds receivable information that may result in accounts receivable.

**5. Event(s)** *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Notification from Tribe	Notification that receivable administration activity needs to be performed as a result of tribe's transaction.	
Notification from External Entity	Notification that receivable administration activity needs to be performed as a result of courts, judgments, awards, settlements, etc. transactions.	

**6. Inputs and Outputs.** *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*



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### 6.1 Inputs

Input	Description
Receivable administration notification	The notification needs to identify beneficiary and account information and account controls so receivable and beneficiary account(s) may be set up.

### 6.2 Outputs

Output	Description
None	

## 7. Fiduciary and Legal Obligations and Controls

### 7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
Secretary's Trust Principles		Provides guidance on responsibility for the management of the Indian trust assets, information and records.
5 USC 552 (Privacy Act / Freedom of Information Act)		Provides protection of the beneficiary's identification and confidential personal information.
25 CFR 115 (Trust Funds for Tribes and Individual Indians Regulations)		Provides regulations governing beneficiary trust accounts.
25 CFR 1200 (American Indian Trust Fund Management Reform Act)		Establishes oversight on DOI Trust reform efforts and allows the Secretary to discharge trust responsibilities.
25 USC 4001		Provides authority for 25 CFR 1200.
Note: Reference the Fiduciary Obligations Plan.		

### 7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).



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Control	Reason	Description
None		

- 8. Mechanisms (Systems of Record)** Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
Trust Integrated Data	Provides access to the receivable and beneficiary account(s) and serves as a repository for the receivable and beneficiary account(s) and related control(s), such as restrictions and payment schedules.

- 9. Inter-Process Relationships** Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.

**9.1 Predecessors.** Predecessors are processes that either produce information required by this process or that result in the need to execute this process.

Process No.	Name	Condition of Relationship
None		

**9.2 Successors.** Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.

Process No.	Name	Condition of Relationship
FO.1.1a	Create Trust Funds Receivable	Financial Operations uses the receivable account(s) to receive funds.

- 10. Comments** Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)

Category	Comment
None	